

Viatical Provider Renewal Checklist

Renewal Year June 20_____ to June 20_____

Provider Name: _____

Address: _____

City/State/Zip: _____

Contact Name: _____

Contact Email: _____ Telephone: _____

Required items

Submitted
Yes/No

| | |
|--|--|
| | 1. Completed Application for Licensure as Viatical Settlement Provider |
| | 2. Renewal fee \$500 (Fee will be invoiced in May) |
| | 3. A current list of officers and directors |
| | 4. A copy of the most current audited financial statement showing a net worth in the amount of not less than \$150,000. (If consolidated, a breakdown of each entity is required) |

Required items - if there have been changes since the last renewal

Submitted
Yes/No/NC

| | |
|--|--|
| | 1. Copies of the provider's organization documents, including but not limited to: a) Articles of Incorporation or association b) Partnership agreement c) By-laws |
| | 2. Biographical affidavits for all officers, directors, stockholders, investors, partners, trustees or members holding ten percent (10%) or more voting securities. All new biographical affidavits must be originally signed, dated and notarized. Third party verification reports are not required. |
| | 3. List of all business licenses. |
| | 4. Listing of parent, subsidiary and affiliated entities. |
| | 5. A copy of any viatical settlement contract to be used, along with the Contract Compliance Checklist. (checklist found at www.in.gov/idoi/2756.htm) |
| | 6. A copy of any disclosure form to be used, along with the Disclosure Form Compliance Checklist (checklist found at www.in.gov/idoi/2756.htm) |
| | 7. An original copy and a red-lined copy of any forms to be used by the Provider that have not been approved by the DOI along with a Document Change Checklist (checklist found at www.in.gov/idoi/2756.htm) |
| | 8. Plan of operation including escrow accounts and bank accounts, advertising, marketing techniques. |

Please forward the Renewal to:

Company Admission Coordinator
Indiana Department of Insurance
311 W. Washington St, Suite 300
Indianapolis IN 46204